

Figure 1

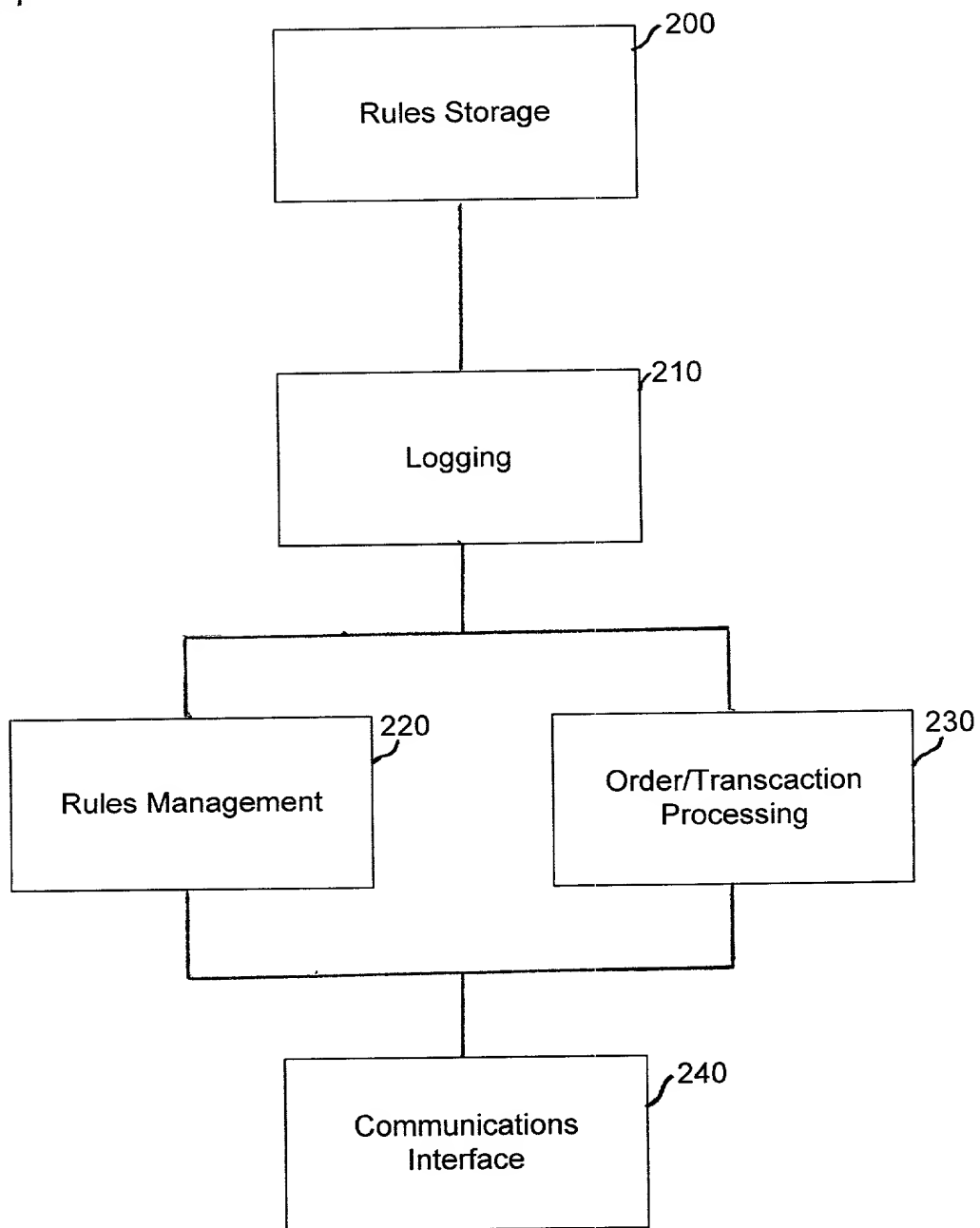


Figure 2

Example:

<u>Number</u>	<u>Type</u>	<u>Possible Level(s)</u>	<u>Possible Outcome(s)</u>
1011	Mandatory	Firm	Stop

This rule stops an order for an account that is closed.

Figure 3A

Example:

<u>Number</u>	<u>Type</u>	<u>Possible Level(s)</u>	<u>Possible Outcome(s)</u>
1141	Optional	Firm Office Investment Professional Account	Stop Approval Warning Acceptance

This rule indicates that an order has been placed which exceeds a credit limit parameter

Figure 3B

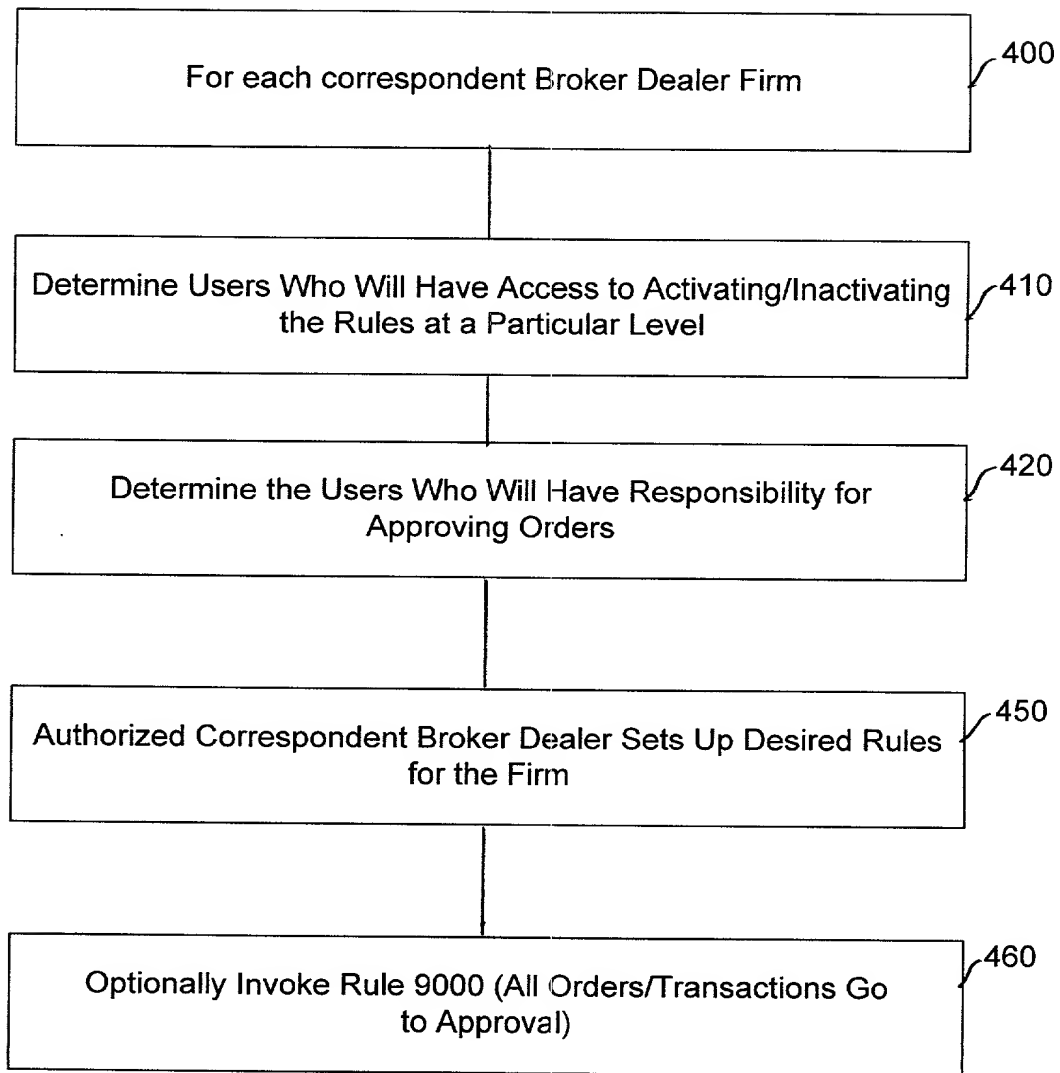


Figure 4

2025 RELEASE UNDER E.O. 14176

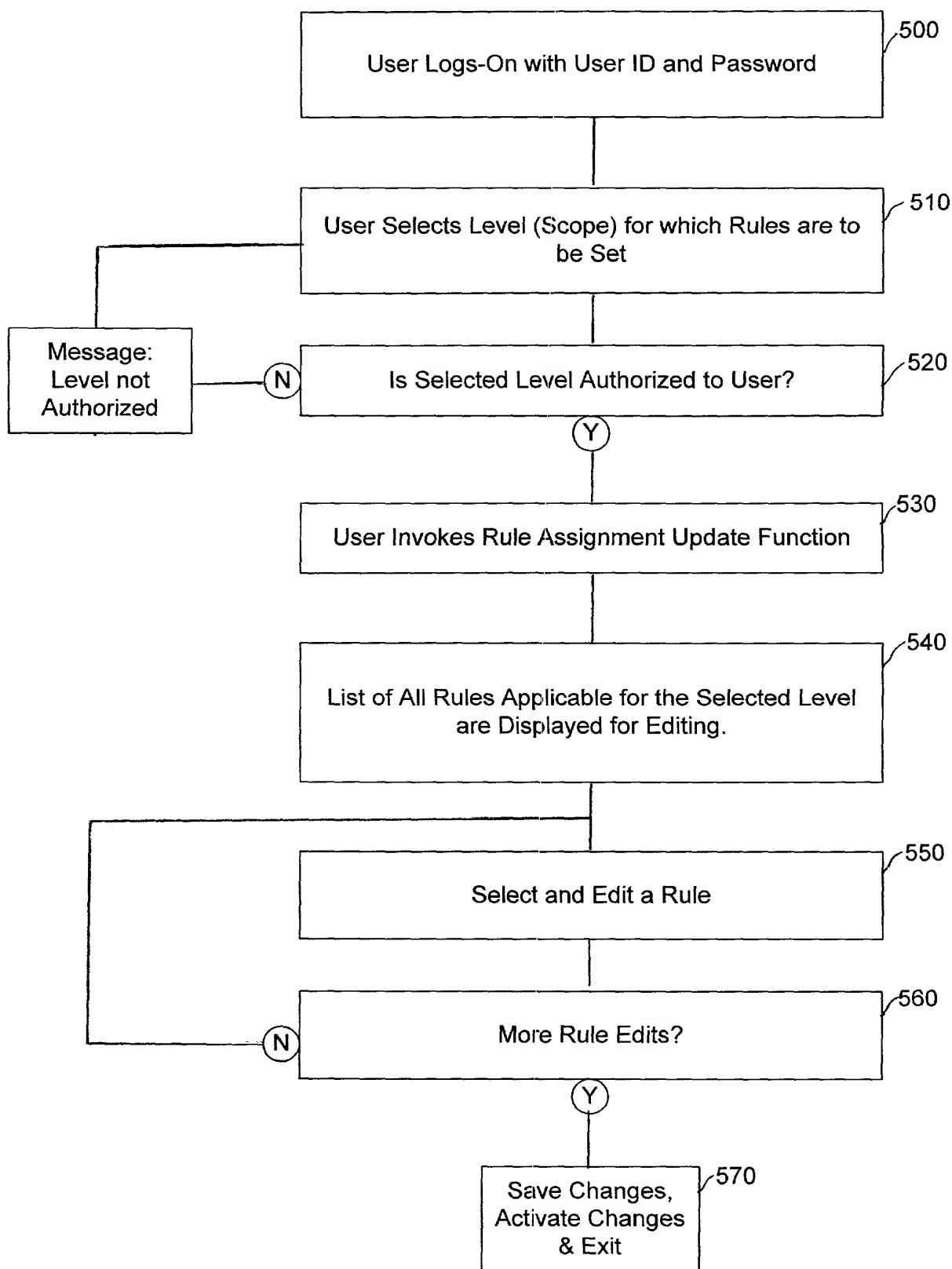


Figure 5

Rules Assignment Definition Screen

1234567890123456789012345678901234567890123456789012345678901234567890

G8B6		RULES ASSIGNMENT DEFINITION		01/29/99 10:21	
FUNCTION: RANM CORR: 40V		ACCOUNT: _____		DATA: _____ NEXT: _____	
MORE PAGES AVAILABLE					
RR: _____				PAGE 1 OF 2	
ACT	INHERITED	OUT	RULE	FARM GROUP	
	RULE	COME	CODE	IND	ID
P	P	S	1011		ACCOUNT CLOSE CHECK
P	P	S	1012		ACCOUNT TRANSFER CHECK
P	P	S	1013		ACCOUNT PENDING CLOSE
P	P	A	1014		OPTION EXPIRATION
P	P	A	1017		ADOPTION AGREEMENT
P	P	S	1018		MARGIN ORDER IN RETIREM
P	P	S	1019		SHORT SALE IN RETIREMEN
P	P	A	1052		OPTION PAPARS. OF FILE
Y		A	1080		EQUITY SELL
Y		A	1081		EQUITY BUY TO COVER RUL
Y		A	1082		SELL TO CLOSE RULE
Y		A	1083		SELL TO OPEN RULE
Y		A	1084		BUY TO CLOSE RULE
		A	1085		EQUITY SHORT SALE
P	P	A	1101		MARGIN PAPERS

1=HELP 3=PREV 4=SAVE 5=CANCEL 7=BACK 8=NEXT 9=RULE CODE 10=RULE PARM 12=MENU

Figure 6

Rules Code Definition Screen

1234567890123456789012345678901234567890123456789012345678901234567890

G8E6 RULE CODE DEFINITION 02/22/99 10:08

FUNCTION: RCODE CORR: ACCOUNT: DATA: NEXT:

RULE CODE DISPLAYED

RULE CODE : 1141 (NUMERIC)

CATEGORY CODE : (SY/P/PS OR SPACE)

OUTCOME : A (W/S/A/D)

PARK INDICATOR : Y (Y/N)

GROUP ID : (NUMERIC)

RULE DESCRIPTION : TRADING LIMIT RULE BY DOLLAR AMOUNT

RULE MESSAGE : TRADING LIMIT EXCEEDED

PF: 1=HELP 3=PREVIOUS 4=UPDATE 5=CANCEL 7=BACK 8=FORWARD 12=MENU

Figure 7

1234567890123456789012345678901234567890123456789012345678901234567890

GSE6

RULE PARAMETER

02/22/99 10:11 PAGE: 01

FUNC: _____

CORR: _____

ACCT: _____

RR: _____

DATA: _____

RULE CODE: 1141

TRADING LIMIT RULE BY DOLLAR AMOUNT

	EQUITY	MUTUAL-FUNDS	OPTION	FIXED-INCOME
PRCPL AMT - CUS	10000	50000	10000	100000
PRCPL AMT - BKR	100000	100000	50000	250000

PF: 1=HELP

3=PREVIOUS

4=UPDATE

5=CANCEL

7=LEFT

8=RIGHT

Figure 8

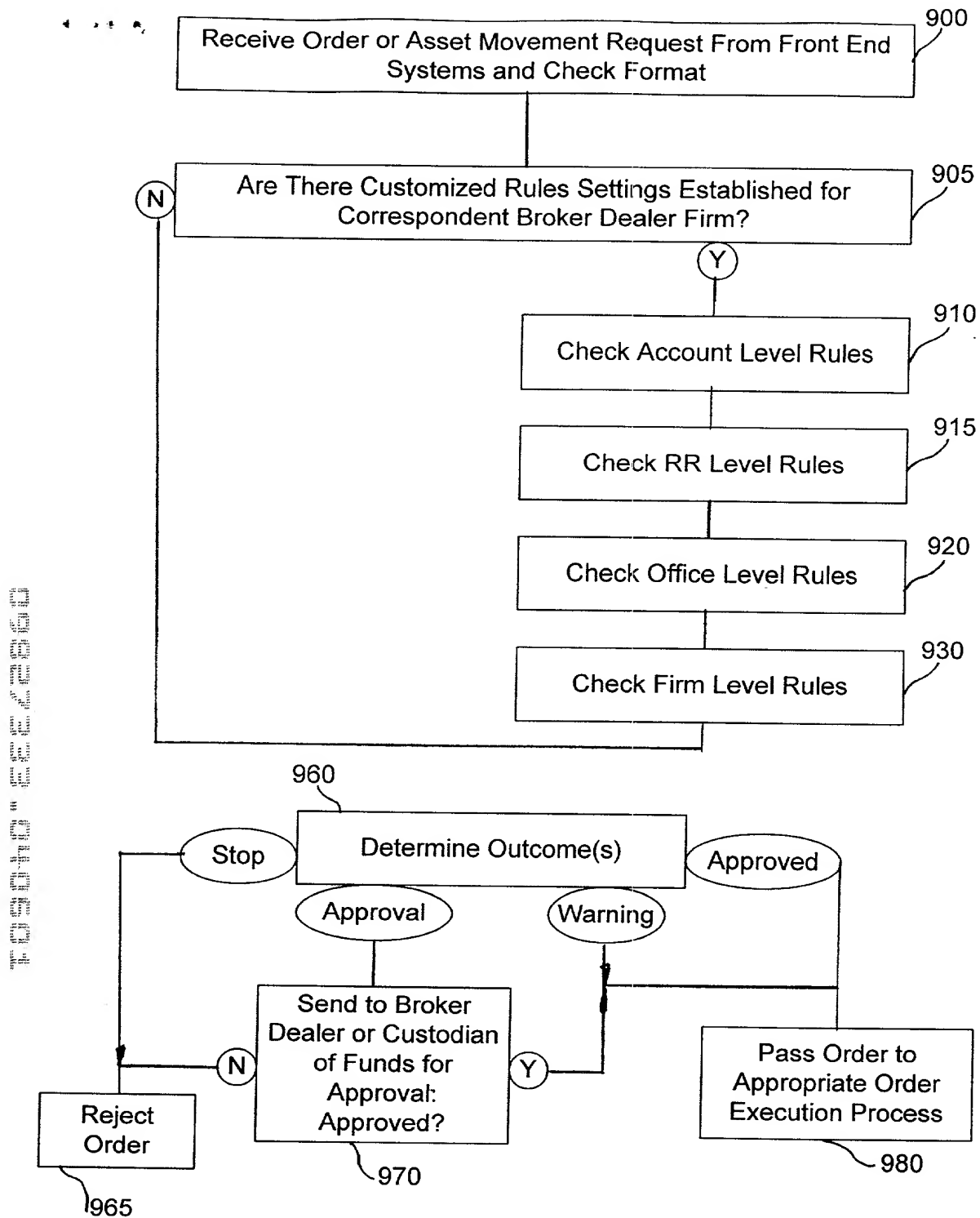


Figure 9